

**PROCEDURE FOR NON-CONFORMANCES-CORRECTIVE AND
PREVENTIVE ACTIONS**

Approved by:
Planning & Development Director:



ADWEA HSE PROCEDURE MANUAL

**PROCEDURE FOR NON-CONFORMANCES
CORRECTIVE AND PREVENTIVE ACTIONS**

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Effective Date:

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1 PURPOSE

The purpose of this procedure is:

- To establish, implement and maintain procedure(s) for dealing with actual and potential nonconformity(ies) and defining responsibility and authority for handling corrective action and preventive action .
- To maintain records to demonstrate that non-conformances are taken into consideration and that these are consistent with the requirements of the ISO 14001 and OHSAS 18001 Standards.

2 SCOPE

This procedure applies to all services, process, and health, safety, and environmental management system (HSEMS).

3 DEFINITIONS & ACRONYMS

ADWEA Abu Dhabi Water and Electricity Authority

Assigned Person for Analysis (APA) person assigned by the Responsible Manager to investigate the root causes of the problems/nonconformities and to identify the corrective/preventive actions.

Assigned Person for Implementation (API) person assigned by the Responsible Manager to implement the approved corrective/preventive action.


Conformity Fulfilment of a requirement

Corrective Action Action taken to eliminate the causes of *a detected* non-conformity or defect or other undesirable situation in order to prevent recurrence. It is initiated by the Responsible Manager as a result of:

- Complaint from any interested party
- Internal audit of the HSE system
- External audit by a third party
- Problems identified by staff
- Non conforming service/products
- Complaints about suppliers/subcontractors
- Results of Monitoring & Measurement
- Management Review

Corrective/Preventive Action Request (CPAR) Request to initiate a Corrective or Preventive Action.

Defect Non-fulfilment of a requirement related to an intended or specified use.

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MR Management Representative

Nonconformity Non-fulfilment of a requirement

Preventive Action Action taken to eliminate the causes of potential non-conformity, defect or other undesirable *potential* situation in order to prevent occurrence.

Procedure Specified way to carry out an activity or a process

Responsible Manager (RM) that is meant one of the following: Planning & Development Directorate, Project Directorate, Business Support Directorate, Privatisation Directorate, Business Planning & Performance Department Head, Digital System Department Head, Finance Division Manager, Human Resources Division Manager, IT Division Manager, Supply Division Manager, Internal Audit Division Manager, Research Center Division Manager.


Root Cause Fundamental deficiency that results in a non-conformance and must be corrected to prevent recurrence of the same or similar non-conformance.

4 REFERENCES


ISO 14001:2004, Environmental Management Systems - Specifications with guidance for use.
[OHSAS 18001:2007](#), Occupational Health and safety management systems – *Standard*
 ADWEA HSE Management System Manual

5 RESPONSIBILITY

- 5.1. It is the responsibility of the Management Representative, HSE Specialist and Responsible Manager to oversee the full implementation and maintenance of this procedure.
- 5.2. It is the responsibility of all employees to report any potential problems or non-conformities through the Corrective/Preventive Action Request (CPAR) form (F-002).
- 5.3. It is the responsibility of all employees to immediately deal with and document any complaint from interested parties.
- 5.4. The Responsible Manager is responsible to:
 - Assign the CPAR for analysis to his subordinate personnel.
 - Review the Action Plan proposed by the Assigned Person for Analysis.
 - Assign the responsibility for implementation of Corrective/Preventive Action Plan to the responsible person for implementation.
 - Review the implemented corrective action.
 - Review the effectiveness of action taken.

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- 5.5. The Assigned Person for Analysis is responsible to:
- Review CPAR and determine the necessary for Corrective or Preventive Action.
 - Perform the root cause analysis and determine Action Plan for justified CPAR.
 - Propose to Responsible Manager the responsibility for implementation of corrective/preventive action plan to his subordinate.
 - Review the implemented corrective action.
- 5.6. The Assigned Person for Implementation is responsible to:
- Implement the approved Corrective or Preventive Action .
 - Signs the CPAR Form and forwards it to the Responsible Manager for review and approval.
 - Conduct detailed study and take appropriate action
- 5.7. The HSE specialist is responsible to:
- Assign CPAR number and maintain the CPAR register (F-003)
 - Review CPAR for clarity and completeness.
 - Forward the CPAR to Responsible Manager.
 - Monitor CPAR status and update register.
 - Provide copy of completed CPAR form to Originator.
 - Send original of CPAR to Management Representative in order for him to verify the effectiveness of the action taken.
 - File copies of objective evidence which support verification and validation of CPAR closure.
- 5.8. The CPAR Originator is responsible to:
- Initiate CPAR when a need for Corrective or Preventive action by filling part one (Reporting)in CPAR form (F-002).
 - Forward the duly filled CPAR to the HSE specialist.
- 5.9. The Management Representative is responsible to:
- Approve close-out of corrective or preventive action.
 - Provide the CPAR form to the concerned coordinator when the Corrective Action has been closed.
 - Keep a hard copy of each completed form of CPAR as HSE Record.
 - Periodic Review of CPAR register maintained by the HSE specialist.
 - Verify effectiveness of action taken in accordance with HSE Audits Procedure.

 <p>هيئة مياه وكهرباء أبوظبي Abu Dhabi Water & Electricity Authority</p>	ABU DHABI WATER AND ELECTRICITY AUTHORITY (ADWEA)	Effective Date : 18.06.2009		
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6 PROCESS

No.	Action	By
1.	<p><u>The procedure shall:</u></p> <ul style="list-style-type: none"> • <u>Identifying and correcting nonconformity(ies) and taking action(s) to mitigate their HSE consequences.</u> • <u>Investigating nonconformity(ies) ,determining their cause(s) and taking actions in order to avoid their recurrence</u> • <u>Evaluate the need for action(s) to prevent nonconformity(ies) and implementing appropriate action(s) designed to avoid their occurrence</u> • <u>Recording and communicating the results of corrective actions and preventive action(s) taken</u> • <u>Reviewing the effectiveness of corrective action(s) and preventive action(s) taken.</u> 	
2.	The Corrective and Preventive Actions shall be handled in accordance with the attached Flow Chart.	All
3.	The CPAR process shall be initiated whenever a condition warrants an investigation to determine if corrective or preventive action is required.	All
4.	<p>Corrective or preventive action shall be documented using CPAR form (F-002) and Processed Electronically or via hard copy in accordance with this document. Corrective or preventive action shall be initiated as a result of, but not limited to, the following:</p> <ol style="list-style-type: none"> a. Non-conformance identified during internal or external audit reports. b. Action items from management review of HSE system effectiveness. c. HSE related complaints. d. HSE problems identified by employees. e. Review of trends or significant discrepancies discovered by analysis of non-conformance reports. 	All
5.	The HSE specialist shall verify that required fields are appropriately and unambiguously completed, assign CPAR number, update CPAR Register (F-003), specify the Category of Anomaly and forward the CPAR form to the Responsible Manager who will then forward it to the Assigned person for analyses. In case of any ambiguity in the CPAR submitted by the Originator, the HSE specialist shall return the CPAR to the Originator for necessary correction and resubmission.	HSE specialist, RM
6.	HSE CPAR Number shall be numbered as follow:	All

Directorate / Division / Department	Centre Code	Year	Serial Number
Chairman Office	CO	03	000 - 100
Planning & Development Dir.	PD	03	000 - 100
Privatisation Directorate	PV	03	000 - 100
Project Directorate	PJ	03	000 - 100
Digital Systems	DS	03	000 - 100
Business Support Directorate	BS	03	000 - 100
Finance Division	FC	03	000 - 100
Human Resources Division	HR	03	000 - 100
Supply Division	SP	03	000 - 100
IT Division	IT	03	000 - 100
Internal Audit Division	IA	03	000 - 100
Research Centre Division	RC	03	000 - 100
HSE	HS	03	000 - 100

Example: HSE-CPAR-FC-03-001

Category of Anomalies

The relevant category code is entered by the HSE specialist in the part 1 (Reporting/Originator) of the CPAR form.


01. HSE Policy
02. HSE Objectives
03. HSE Planning
04. Management Responsibility, Authority and Communication
05. HSE Management System Documentations
06. Status of Preventive and Corrective Actions
07. Complaints, Customer Feedbacks
08. Training , Skills and Experience , Competence and Qualification
09. Provision of Resources
10. Control of Monitoring and Measuring Devices
11. Monitoring & Measurement results
12. Activity Monitoring
13. Continuous Improvement for HSE Management System

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7.	After registering, the HSE specialist shall forward the CPAR to the Responsible Manager.	HSE specialist
8.	The Responsible Manager shall assign the CPAR to one of his subordinate, for analysis and appropriate action.	RM
9.	The Assigned Person for Analysis reviews the CPAR and determines if any Corrective or Preventive Action is necessary. If no action is required, he shall convey his proposal to the Responsible Manager for approval. If the Responsible Manager approves that no action is necessary, the CPAR will be returned to HSE specialist with his comment. The HSE specialist provides one copy of the closed-out CPAR to the Originator and Management Representative and files the records and updates the CPAR Register (F-003).	APA, RM, HSE specialist
10.	If the APA determines the requirement of an action or if the Responsible Manager rejects the proposal of non-requirement of action, the APA shall conduct root cause analysis and determine the Corrective / Preventive Action Plan and propose responsible person for implementation. This action Plan shall be reviewed and approved by the Responsible Manager, prior to implementation. The Assigned Person shall conduct more detailed study, if required by the Responsible Manager.	APA, RM
11.	The Responsible Manager shall assign the responsibility for implementation of Corrective / Preventive Action to his subordinate.	RM
12.	The Responsible Manager shall review the corrective or preventive action to verify its implementation. <ul style="list-style-type: none"> If the implementation of corrective or preventive action is not complete or unacceptable, the Responsible Manager shall return the CPAR form to the concerned Assigned Person for Implementation and further necessary action. If the corrective or preventive action taken is complete and acceptable, the Responsible Manager shall sign and date respective fields of Part 3 of the CPAR form and forward it to the concerned HSE specialist for follow up. 	RM
13.	The HSE specialist shall follow up the implementation of the corrective action. If the action is not completed, another target date shall be agreed.	HSE specialist
14.	On satisfactory completion of the Corrective or Preventive Action, the HSE specialist shall send original copy of the CPAR to the Management Representative in order for him to verify the effectiveness of the action taken.	HSE specialist
15.	If the action taken is effective, the Management Representative retains one copy for his reference of the closed-out CPAR and forward the original CPAR to HSE specialist. The HSE specialist shall file all records related to the CPAR for future reference and update the CPAR Register (F-003). The HSE specialist provides one copy of closed-out CPAR to Originator.	MR, HSE specialist
16.	If the action taken is not effective, the Management Representative requests a new CPAR, and forward the original CPAR to the HSE specialist. The HSE specialist shall prepare a new CPAR and inform the Originator according to the new Request.	MR, HSE specialist

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17.	The HSE specialist and Management Representative continuously monitor and keep the records of the operation of the Corrective/ Preventive Action Request System to ensure that actions are effectively implemented and also to detect any repeating situations or identify areas where Corrective Actions may be concentrated.	HSE specialist, MR
18.	<p>Patterns and Trends in Corrective and Preventive action data shall be analysed reported by Management Representative and reviewed by Management Review Meeting in order to:</p> <ul style="list-style-type: none"> • Monitor the timeliness and adequacy of corrective and preventive action • Identify additional opportunities for improvement process, products and the HSE Management System. • Relevant information on all corrective and preventive action shall be submitted for Management Review Meetings. 	MR

7 ATTACHMENTS

- HSE Corrective/ Preventive Action – Flow Chart
- HSE Corrective/ Preventive Action Request (CPAR) Form (F-002)
- HSE Corrective/ Preventive Action Request (CPAR) Register (F-003)